



PATENT *IFW*

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
(Case No. 04-372 (400.137))

In the Application of:)

McSwiggen et al.)

Serial No.: 10/698,311)

Filing Date: October 31, 2003)

For: RNA Interference Mediated Treatment of)
Parkinson Disease Using Short Interfering)
Nucleic Acid (SINA))

Examiner: TBD

Group Art Unit: 1632

Confirmation No.: 9826

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Sir:

TRANSMITTAL LETTER

In regard to the above identified application:

1. We are transmitting herewith the attached papers for the above identified new patent application:

- ☒ Information Disclosure Statement;
- ☒ Information Disclosure Statement (IDS) PTO-1449 Form;
- ☒ Copies of IDS Citations for S/N 10/698,311 (Total 57 foreign patents and 177 other documents); and
- ☒ Return Receipt Postcard.

2. With respect to additional fees, no additional fee is required.

3. GENERAL AUTHORIZATION: Please charge any additional fees or credit overpayment to Deposit Account No. 13-2490. A duplicate copy of this sheet is enclosed.

4. CERTIFICATE OF MAILING UNDER 37 CFR § 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described in paragraph 1 hereinabove, are being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450 on August 3, 2004.

By: 

Anita J. Terpstra
Reg. No. 47,132

McDONNELL BOEHNEN HULBERT & BERGHOFF LLP
300 SOUTH WACKER DRIVE
CHICAGO, ILLINOIS 60606
TELEPHONE (312) 913-0001
FACSIMILE: (312) 913-0002



PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
(Case No. 04-372 (400.137))**

In the Application of:)	
)	
McSwiggen et al.)	
)	Examiner: TBD
Serial No.: 10/698,311)	
)	Group Art Unit: 1632
Filing Date: October 31, 2003)	
)	Confirmation No.: 9826
For: RNA Interference Mediated Treatment of)	
Parkinson Disease Using Short Interfering)	
Nucleic Acid (SINA))	

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. Section 1.97 - 1.99, the Applicant wishes to make the following references of record in the above-identified application. This Information Disclosure Statement is in compliance with the continuing duty of candor as set forth in 37 C.F.R. Section 1.56. Copies of the cited references are enclosed. These references are also listed on the enclosed PTO Form 1449.

The Office has waived the requirement under 37 CFR 1.98 (a)(2)(i) for submitting a copy of each cited U.S. patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003 and for all international applications that have entered the national stage under 35 USC § 371 after June 30, 2003. In accordance with this waiver, cited U.S. patents and U.S. patent application publications are not enclosed.

Also, attached to each reference in a language other than English is a translation of the reference in accordance with 37 C.F.R. § 1.98 (a) (3)(ii).

In the judgment of the undersigned, portions of the listed references may be material to the Examiner's consideration of the presently pending claims. This statement is not a representation that the listed references have effective dates early enough to be "prior art" within the meaning of 35 U.S.C. Section 102 or Section 103.

Applicants do not believe any fee is due with this submission. If this belief is in error and the Patent Office determines that the fee prescribed in the relevant portion of 37 C.F.R. Section 1.97 is applicable, the undersigned attorney by his signature hereby authorizes any such fee to be debited from Deposit Account 13-2490.

U. S. PATENT APPLICATION DOCUMENTS

- * Matulic-Adamic et al., U.S. Patent Application No. 10/151,116 filed May 17, 2002
- * Vargeese et al., U.S. Patent Application No. 10/201,394 filed August 13, 2001
- * Vargeese et al., U.S. Patent Application No. 10/427,160 filed April 30, 2003
- * Hoffman et al., U.S. Publication No. 2001/0007666 filed July 12, 2001
- * Caster, U.S. Publication No. 2002/0130430 filed December 29, 2000
- * Thompson et al., U.S. Patent Application No. 60/082,404 filed April 20, 1998
- * Beigelman et al., U.S. Patent Application No. 60/358,580 filed February 20, 2002
- * Beigelman et al., U.S. Patent Application No. 60/363,124 filed March 11, 2002
- * Beigelman et al., U.S. Patent Application No. 60/386,782 filed June 6, 2002
- * Beigelman et al., U.S. Patent Application No. 60/393,782 filed July 3, 2002
- * Beigelman et al., U.S. Patent Application No. 60/399,348 filed July 29, 2002
- * Usman et al., U.S. Patent Application No. 60/402,996 filed August 13, 2002
- * Beigelman et al., U.S. Patent Application No. 60/406,784 filed August 29, 2002
- * Beigelman et al., U.S. Patent Application No. 60/408,378 filed September 5, 2002
- * Beigelman et al., U.S. Patent Application No. 60/409,293 filed September 9, 2002
- * Beigelman et al., U.S. Patent Application No. 60/440,129 filed January 15, 2003

U. S. PATENTS

- * Cook et al., U.S. Patent No. 5,138,045 issued August 11, 1992
- * Lin et al., U.S. Patent No. 5,214,136 issued May 25, 1993

- * Sproat, U.S. Patent No. 5,334,711 issued August 2, 1994
- * Noonberg et al., U.S. Patent No. 5,624,803 issued August 29, 1997
- * Usman et al. U.S. Patent No. 5,627,053 issued May 6, 1997
- * Usman et al. U.S. Patent No. 5,631,360 issued May 20, 1997
- * Cook et al., U.S. Patent No. 5,670,633 issued September 23, 1997
- * Beigelman et al., U.S. Patent No. 5,716,824 issued February 10, 1998
- * Buhr et al., U.S. Patent No. 5,792,847 issued August 11, 1998
- * Usman et al., U.S. Patent No. 5,804,683 issued September 8, 1998
- * Robinson et al., U.S. Patent No. 5,814,620 issued September 29, 1998
- * Usman et al., U.S. Patent No. 5,831,071 issued November 3, 1998
- * Cech et al., U.S. Patent No. 5,854,038 issued November 3, 1998
- * Scaringe et al., U.S. Patent No. 5,889,136 issued March 30, 1999
- * Crooke, U.S. Patent No. 5,898,031 issued April 27, 1999
- * Thompson et al., U.S. Patent No. 5,902,880 issued May 11, 1999
- * Adamic et al., U.S. Patent No. 5,998,203 issued December 7, 1999
- * Brennan, U.S. Patent No. 6,001,311 issued December 14, 1999
- * Cook et al., U.S. Patent No. 6,005,087 issued December 21, 1999
- * Scaringe et al., U.S. Patent No. 6,008,400 issued December 28, 1999
- * Bellon et al., U.S. Patent No. 6,054,576 issued April 25, 2000
- * Crooke, U.S. Patent No. 6,107,094 issued August 22, 2000
- * Scaringe et al., U.S. Patent No. 6,111,086 issued August 29, 2000
- * Usman et al., U.S. Patent No. 6,117,657 issued September 12, 2000
- * Thompson et al., U.S. Patent No. 6,146,886 issued November 14, 2000
- * Manoharan et al., U.S. Patent No. 6,153,737 issued November 28, 2000
- * Bellon et al., U.S. Patent No. 6,162,909 issued December 19, 2000
- * Kaplitt et al., U.S. Patent No. 6,180,613 issued January 30, 2001
- * Wang et al., U.S. Patent No. 6,235,310 issued May 22, 2001
- * Manoharan et al., U.S. Patent No. 6,235,886 issued May 22, 2001
- * Gold, U.S. Patent No. 6,300,074 issued October 9, 2001
- * Bellon et al., U.S. Patent No. 6,303,773 issued October 16, 2001
- * Guzaev, U.S. Patent No. 6,335,434 issued January 1, 2002

- * Usman et al., U.S. Patent No. 6,353,098 issued March 5, 2002
- * Usman et al., U.S. Patent No. 6,362,323 issued March 26, 2002
- * Beigelman et al., U.S. Patent No. 6,395,713 issued May 28, 2002
- * Usman et al., U.S. Patent No. 6,437,117 issued August 20, 2002
- * Vook et al., U.S. Patent No. 6,447,796 issued September 10, 2002
- * Usman et al., U.S. Patent No. 6,469,158 issued October 22, 2002
- * Buhr et al., U.S. Patent No. 6,476,205 issued November 5, 2002
- * Fire et al., U.S. Patent No. 6,506,559 issued June 14, 2003
- * Cook et al., U.S. Patent No. 6,528,631 issued March 4, 2003
- * Sagara et al., U.S. Patent No. 6,586,524 issued July 1, 2003

FOREIGN PATENT DOCUMENTS

1. Graham et al., Australian Patent No. 40375/01
2. Kreutzer et al., Canadian Patent No. 2,359,180, published August 3, 2000
3. Kreutzer et al., European Patent No. 1144623 B1, published January 29, 2002
4. Arnold et al., International Patent Application No. WO 89/02439 published March 23, 1989
5. Gillespie et al., International Patent Application No. WO 90/14090 published November 29, 1990
6. Rossi et al., International Patent Application No. WO 91/03162 published March 21, 1991
7. Eckstein et al., International Patent Application No. WO 92/07065 published April 30, 1992
8. Usman et al., International Patent Application No. WO 93/15187 published August 5, 1993
9. Draper et al., International Patent Application No. WO 93/23569 published November 25, 1993
10. Agrawal et al., International Patent Application No. WO 94/01550 published January 20, 1994
11. Sullivan et al., International Patent Application No. WO 94/02595 published February 3, 1994
12. Usman et al., International Patent Application No. WO 95/06731 published March 9, 1995
13. Dudycz et al., International Patent Application No. WO 95/11910 published May 4, 1995
14. Ansell et al., International Patent Application No. WO 95/10390 published April 11, 1996

15. Choi et al., International Patent Application No. WO 95/10391 published April 11, 1996
16. Holland et al., International Patent Application No. WO 95/10392 published April 11, 1996
17. Beigelman et al., International Patent Application No. WO 96/18736 published June 26, 1996
18. Beigelman et al., International Patent Application No. WO 97/26270 published July 24, 1997
19. Woolf et al., International Patent Application No. WO 98/13526 published April 2, 1998
20. Deschamps de Paillette et al., International Patent Application No. WO 99/07409 published February 18, 1999
21. Wengel et al., International Patent Application No. WO 99/14226 published March 25, 1999
22. Barry et al., International Patent Application No. WO 99/31262 published June 24, 1999
23. Fire et al., International Patent Application No. WO 99/32619 published July 1, 1999
24. Graham et al., International Patent Application No. WO 99/49029 published September 30, 1999
25. Waterhouse et al., International Patent Application No. WO 99/53050 published October 21, 1999
26. Thompson et al., International Patent Application No. WO 99/54459 published October 28, 1999
230. Heifetz et al., International Patent Application No. WO 99/61631 published December 2, 1999
27. Plaetinck et al., International Patent Application No. WO 00/01846 published January 13, 2000
28. Kreutzer et al., International Patent Application No. WO 00/44895 published August 3, 2000
29. Li et al., International Patent Application No. WO 00/44914 published August 3, 2000
30. Jen Sheen, International Patent Application No. WO 00/49035 published August 24, 2000
31. O'Hare and Normand, International Patent Application No. WO 00/53722 published September 14, 2000
32. Pachuk et al., International Patent Application No. WO 00/63364 published October 26, 2000
33. Wengel et al., International Patent Application No. WO 00/66604 published November 9, 2000

34. Satishchandran et al., International Patent Application No. WO 01/04313 published January 18, 2001
35. Mello et al., International Patent Application No. WO 01/29058 published April 26, 2001
36. Zernicka-Goetz et al., International Patent Application No. WO 01/36646 published May 25, 2001
37. Grossniklaus, International Patent Application No. WO 01/38551 published May 31, 2001
38. Churikov et al., International Patent Application No. WO 01/42443 published June 14, 2001
39. Driscoll et al., International Patent Application No. WO 01/49844 published July 12, 2001
40. Cogoni et al., International Patent Application No. WO 01/53475 published July 26, 2001
41. Beach et al., International Patent Application No. WO 01/68836 published September 20, 2001
42. Honer et al., International Patent Application No. WO 01/70944 published September 27, 2001
43. Graham et al., International Patent Application No. WO 01/70949 published September 27, 2001
44. Deak et al., International Patent Application No. WO 01/72774 published October 4, 2001
45. Tuschl et al., International Patent Application No. WO 01/75164 published October 11, 2001
46. Arndt et al., International Patent Application No. WO 01/92531 published December 6, 2001
47. Mushegian et al., International Patent Application No. WO 91/96584 published December 20, 2001
48. Bennett et al., International Patent Application No. WO 02/22636 published March 21, 2002
49. Echeverri et al., International Patent Application No. WO 02/38805 published May 16, 2002
50. Tuschl et al., International Patent Application No. WO 02/44321 published June 6, 2002
51. Kreutzer et al., International Patent Application No. WO 02/55692 published July 18, 2002
52. Kreutzer et al., International Patent Application No. WO 02/55693 published July 18, 2002
53. McSwiggen et al., Application No. PCT/US03/05028 filed February 20, 2003
54. McSwiggen et al., Application No. PCT/US03/05346 filed February 20, 2003
55. Wang et al., International Patent Application No. WO 03/046185 published June 5, 2003

56. Wang et al., International Patent Application No. WO 03/047518 published June 12, 2003

OTHER DOCUMENTS

57. Akhtar and Juliano, "Cellular Uptake and Intracellular Fate of AntiSense Oligonucleotides," Trends Cell Biol. 2:139-144 (1992)
58. Aldrian-Herrada et al., "A peptide nucleic acid (PNA) is more rapidly internalized in cultured neurons when coupled to a *retro-inverso* delivery peptide. The antisense activity depresses the target mRNA and protein in magnocellular oxytocin neurons," Nucleic Acids Research 26:4910-4916 (1998)
59. Allshire, "RNAi and Heterochromatin - A Hushed-up Affair," Science 297:1818-1819 (2002)
60. Andrews and Faller, "A rapid micropreparation technique for extraction of DNA-binding proteins from limiting numbers of mammalian cells," Nucleic Acids Research 19:2499 (1991)
61. Baenziger and Fiete, "Galactose and N-Acetylgalactosamine-Specific Endocytosis of Glycopeptides by Isolated Rat Hepatocytes," Cell 22:611-620 (1980)
62. Bahramian et al., "Transcriptional and Posttranscriptional Silencing of Rodent $\alpha 1(I)$ Collagen by a Homologous Transcriptionally Self-Silenced Transgene," Molecular and Cellular Biology, 19:274-283 (1999)
63. Bannai et al., "Effect of Injection of Antisense of Oligodeoxynucleotides of GAD Isozymes into Rat Ventromedial Hypothalamus on Food Intake and Locomotor Activity," Brain Research 784:305-315 (1998)
64. Bannai et al., "Water-absorbent Polymer as a Carrier for a Discrete Deposit of Antisense Oligodeoxynucleotides in the Central Nervous System," Brain Research Protocols 3:83-87 (1998)
65. Bass, "The short answer," Nature 411:428-429 (2001)
66. Beigelman et al., "Chemical Modification of Hammerhead Ribozymes," The Journal of Biological Chemistry 270:25702-25708 (1995)
67. Bellon et al., "Amino-Linked Ribozymes: Post-Synthetic Conjugation of Half-Ribozymes," Nucleosides & Nucleotides 16:951-954 (1997)

68. Bellon et al., "Post-synthetically Ligated Ribozymes: An Alternative Approach to Iterative Solid Phase Synthesis," Bioconjugate Chem. 8:204-212 (1997)
69. Bernstein et al., "Role for a Bidentate Ribonuclease in the Initiation Step of RNA Interference," Nature 409:363-366 (2001)
70. Bettinger et al., "Size Reduction of Galactosylated PEI/DNA Complexes Improves Lectin-Mediated Gene Transfer into Hepatocytes," *Bioconjugate Chem.*, 10, 558-561 (1999)
71. Boado et al., "Drug Delivery of Antisense Molecules to the Brain for Treatment of Alzheimer's Disease and Cerebral AIDS," *Journal of Pharmaceutical Sciences* 87:1308-1315 (1998)
72. Boado, "Antisense drug delivery through the blood-brain barrier," *Advanced Drug Delivery Reviews* 15:73-107 (1995)
73. Bonifati et al., "Mutations in the *DJ-1* Gene Associated with Autosomal Recessive Early-Onset Parkinsonism," *Science*, doi:10.1126/science.1077209 (2002)
74. Brennan et al., "Two-Dimensional Parallel Array Technology as a New Approach to Automated Combinatorial Solid-Phase Organic Synthesis," *Biotechnology and Bioengineering (Combinatorial Chemistry)* 61:33-45 (1998)
75. Broaddus et al., "Distribution and stability of antisense phosphorothioate oligonucleotides in rodent brain following direct intraparenchymal controlled-rate infusion," Neurosurg. Focus 3(5):Article 4 (1997)
76. Broaddus et al., "Distribution and stability of antisense phosphorothioate oligonucleotides in rodent brain following direct intraparenchymal controlled-rate infusion," J Neurosurg 88:734-742 (1998)
77. Brody and Gold, "Aptamers as therapeutic and diagnostic agents," *Reviews in Molecular Biotechnology* 74:5-13 (2000)
78. Burgin et al., "Chemically Modified Hammerhead Ribozymes with Improved Catalytic Rates," Biochemistry 35:14090-14097 (1996) (volume no. mistakenly listed as 6)
79. Burlina et al., "Chemical Engineering of RNase Resistant and Catalytically Active Hammerhead Ribozymes," *Bioorganic & Medicinal Chemistry* 5:1999-2010 (1997)
80. Caruthers et al., "Chemical Synthesis of Deoxyoligonucleotides and Deoxyoligonucleotide Analogs," Methods in Enzymology 211:3-19 (1992)

81. Chen et al., "Multitarget-Ribozyme Directed to Cleave at up to Nine Highly Conserved HIV-1 env RNA Regions Inhibits HIV-1 Replication-Potential Effectiveness Against Most Presently Sequenced HIV-1 Isolates," Nucleic Acids Research 20:4581-4589 (1992)
82. Chiu and Rana, "siRNA function in RNAi: A chemical modification analysis," *RNA*, 9, 1034-1048 (2003)
83. Choi et al., "Effect of Poly(ethylene glycol) Grafting on Polyethylenimine as a Gene Transfer Vector *in vitro*," *Bull. Korean Chem. Soc.*, 22, 46-52 (2001)
84. Chowrira et al., "*In Vitro* and *in Vivo* Comparison of Hammerhead, Hairpin, and Hepatitis Delta Virus Self-Processing Ribozyme Cassettes," J. Biol. Chem. 269:25856-25864 (1994)
85. Chun et al., "Effect of infusion of vasoactive intestinal peptide (VIP)-antisense oligodeoxynucleotide into the third cerebral ventricle above the hypothalamic cuprachiasmatic nucleus on the hyperglycemia caused by intracranial injection of 2-deoxy-D-glucose in rats," *Neuroscience Letters* 257:135-138 (1998)
86. Cload and Schepartz, "Polyether Tethered Oligonucleotide Probes," J. Am. Chem. Soc. 113:6324-6326 (1991)
87. Connolly et al., "Binding and Endocytosis of Cluster Glycosides by Rabbit Hepatocytes," The Journ. of Biol. Chem. 257:939-945 (1982)
88. Conry et al., "Phase I Trial of a Recombinant Vaccinia Virus Encoding Carcinoembryonic Antigen in Metastatic Adenocarcinoma: Comparison of Intradermal *versus* Subcutaneous Administration," *Clinical Cancer Research* 5:2330-2337 (1999)
89. Couture and Stinchcomb, "Anti-gene therapy: the use of ribozymes to inhibit gene function," Trends In Genetics 12:510-515 (1996)
90. d'Aldin et al., "Antisense oligonucleotides to the GluR2 AMPA receptor subunit modify excitatory synaptic transmission *in vivo*," *Molecular Brain Research* 55:151-164 (1998)
91. Dawson et al., "Rare genetic mutations shed light on the pathogenesis of Parkinson disease," *The Journal of Clinical Investigation*, 111(2),145-151 (2003)
92. Diebold et al., "Mannose Polyethylenimine Conjugates for Targeted DNA Delivery into Dendritic Cells*," *The Journal of Biological Chemistry*, 274, 19087-19094 (1999)

93. Dropulic et al., "Functional Characterization of a U5 Ribozyme: Intracellular Suppression of Human Immunodeficiency Virus Type I Expression," Journal of Virology 66:1432-1441 (1992)
94. Dryden et al., "The lack of specificity of neuropeptide Y (NPY) antisense oligodeoxynucleotides administered intracerebroventricularly in inhibiting food intake and NPY gene expression in the rat hypothalamus," *Journal of Endocrinology* 157:169-175 (1998)
95. Durand et al., "Circular Dichroism Studies of an Oligodeoxyribonucleotide Containing a Hairpin Loop Made of a Hexaethylene Glycol Chain: Conformation and Stability," Nucleic Acids Research 18:6353-6359 (1990) [sometimes referred to as Seela and Kaiser]
96. Earnshaw et al., "Modified Oligoribonucleotides as Site-Specific Probes of RNA Structure and Function," *Biopolymers* 48:39-55 (1998)
97. Elbashir et al., "Duplexes of 21-nucleotide RNAs mediate RNA interference in cultured mammalian cells," *Nature* 411:494-498 (2001)
98. Elbashir et al., "Functional Anatomy of siRNAs for Mediating Efficient RNAi in *Drosophila Melanogaster* Embryo Lysate," The EMBO Journal 20:6877-6888 (2001)
99. Elbashir et al., "RNA Interference is Mediated by 21- and 22-Nucleotide RNAs," Genes and Development 15:188-200 (2001)
100. Elkins and Rossi, "Ch. 2 - Cellular Delivery of Ribozymes," in Delivery Strategies for Antisense Oligonucleotide Therapeutics, edited by Akhtar, CRC Press, pp. 17-220 (1995)
101. Elroy-Stein and Moss, "Cytoplasmic Expression System Based on Constitutive Synthesis of Bacteriophage T7 RNA Polymerase in Mammalian Cells," Proc. Natl. Acad. Sci. USA 87:6743-6747 (1990)
102. Emerich et al., "Biocompatibility of Poly (DL-Lactide-co-Glycolide) Microspheres Implanted Into the Brain," *Cell Transplantation* 8:47-58 (1999)
103. Epa et al., "Downregulation of the p75 Neurotrophin Receptor in Tissue Culture and *In Vivo*, Using β -Cyclodextrin-Adamantane-Oligonucleotide Conjugates," Antisense and Nucleic Acid Drug Dev. 10:469-478 (2000)
104. Erbacher et al., "Transfection and physical properties of various saccharide, poly(ethylene glycol), and antibody-derivatized polyethylenimines (PEI), *The Journal of Gene Medicine*, 1, 210-222 (1999) [sometimes incorrectly cited as pages 1-18]

105. Ferentz and Verdine, "Disulfied Cross-Linked Oligonucleotides," J. Am. Chem. Soc. 113:4000-4002 (1991)
106. Fire et al., "Potent and Specific Genetic Interference by Double-Stranded RNA in *Caenorhabditis Elegans*," Nature 391:806-811(1998)
107. Fire, "RNA-triggered Gene Silencing," TIG 15:358-363(1999)
108. Freier et al., "Improved free-energy parameters for predictions of RNA duplex stability," Proc. Natl. Acad. Sci. USA 83:9373-9377 (1986) [sometimes referred to as Frier]
109. Furgeson et al., "Modified Linear Polyethylenimine—Cholesterol Conjugates for DNA Complexation," Bioconjugate Chem., 14, 840-847 (2003)
110. Futami et al., "Induction of apoptosis in HeLa cells with siRNA expression vector targeted against bcl-2," Nucleic Acids Research Supplement, 251-252 (2002)
111. Gao and Huang, "Cytoplasmic Expression of a Reporter Gene by Co-Delivery of T7 RNA Polymerase and T7 Promoter Sequence with Cationic Liposomes," Nucleic Acids Research 21:2867-2872 (1993)
112. Ghimikar et al., "Chemokine inhibition in rat stab wound brain injury using antisense oligodeoxynucleotides," Neuroscience Letters 247:21-24 (1998)
113. Godbey et al., "Tracking the intracellular path of poly(ethylenimine)/DNA complexes for gene delivery," Proc. Natl. Acad. Sci. USA, 96, 5177-5181 (1999)
114. Godbey et al., Poly(ethylenimine) and its role in gene delivery," Journal of Controlled Release, 60, 149-160 (1999)
115. Gold et al., "Diversity of Oligonucleotide Functions," Annu. Rev. Biochem. 64:763-797 (1995)
116. Gold, "Axonal Regeneration of Sensory Nerves is Delayed by Continuous Intrathecal Infusion of Nerve Growth Factor," Neuroscience 76:1153-1158 (1997)
117. Gonzalez et al., "New Class of Polymers for the Delivery of Macromolecular Therapeutics," Bioconjugate Chem. 10:1068-1074 (1999)
118. Good et al., "Expression of small, therapeutic RNAs in human nuclei," Gene Therapy 4:45-54 (1997)
119. Groothuis and Levy, "The entry of antiviral and antiretroviral drugs into the central nervous system," Journal of NeuroVirology 3:387-400 (1997)

120. Hall et al., "Establishment and Maintenance of a Heterochromatin Domain," Science 297:2232-2237 (2002)
121. Hamilton, et al., "A Species of Small Antisense RNA in Posttranscriptional Gene Silencing in Plants," *Science*, 286, 950-952 (1999)
122. Hammond et al., "An RNA-Directed Nuclease Mediates Post-Transcriptional Gene Silencing in *Drosophila* Cells," Nature 404:293-296 (2000)
123. Harborth et al., "Sequence, Chemical, and Structural Variation of Small Interfering RNAs and Short Hairpin RNAs and the Effect on Mammalian Gene Silencing," *Antisense and Nucleic Acid Drug Development*, 13:83-105 (2003)
124. Hermann and Patel, "Adaptive Recognition by Nucleic Acid Aptamers," *Science* 287:820-825 (2000)
125. Ho et al., "Antisense Oligonucleotides for Target Validation in the CNS," Current Opinion in Molecular Therapeutics 1:336-343 (1999)
126. Hofland and Huang, "Formulation and Delivery of Nucleic Acids," *Handbook of Exp. Pharmacol.* 137:165-192 (1999)
127. Hunziker et al., "Nucleic Acid Analogues: Synthesis and Properties, in Modern Synthetic Methods," VCH, 331-417
128. Hutvagner and Zamore, "A MicroRNA in a Multiple-Turnover RNAi Enzyme Complex," Science 297:2056-2060 (2002)
129. Hutvagner et al., "A Cellular Function for the RNA-Interference Enzyme Dicer in the Maturation of the *let-7* Small Temporal RNA," Science 293:834-838 (2001)
130. International Search Report for PCT/US03/05028, mailed October 17, 2003
131. International Search Report for PCT/US03/05346, mailed October 17, 2003
132. Ishiwata et al., "Physical-Chemistry Characteristics and Biodistribution of Poly(ethylene glycol)-Coated Liposomes Using Poly(oxyethylene) Cholesteryl Ether," Chem. Pharm. Bull. 43:1005-1011 (1995) (mistakenly referred to as Ishiwataet)
133. Iwata et al., " α -Synuclein Affects the MAPK Pathway and Accelerates Cell Death," *The Journal of Biological Chemistry*, 276(48), 45320-45329 (2001)
134. Izant and Weintraub, "Constitutive and Conditional Suppression of Exogenous and Endogeneous Genes by Anti-Sense RNA," Science 229:345-352 (1985)

135. Jaschke et al., "Automated Incorporation of Polyethylene Glycol into Synthetic Oligonucleotides," Tetrahedron Letters 34:301-304 (1993) (sometimes mistakenly referred to as Jscke)
136. Jayasena, "Aptamers: An Emerging Class of Molecules that Rival Antibodies in Diagnostics," *Clinical Chemistry* 45:1628-1650 (1999)
137. Jenuwein, "An RNA-Guided Pathway for the Epigenome," Science 297:2215-2218 (2002)
138. Joliet-Riant and Tillement, "Drug transfer across the blood-brain barrier and improvement of brain delivery," *Fundam. Clin. Pharmacol.* 13:16-26 (1999)
139. Karle et al., "Differential Changes in Induced Seizures After Hippocampal Treatment of Rats with an Antisense Oligodeoxynucleotide to the GABA_A Receptor γ 2 Subunit," Euro. Jour. of Pharmacology 340:153-160 (1997)
140. Karpeisky et al, "Highly Efficient Synthesis of 2'-O-Amino Nucleosides And Their Incorporation in Hammerhead Ribozymes," Tetrahedron Letters 39:1131-1134 (1998)
141. Kashani-Sabet et al., "Reversal of the Malignant Phenotype by an Anti-ras Ribozyme," Antisense Research & Development 2:3-15 (1992)
142. Kunath et al., "The Structure of PEG-Modified Poy(Ethylene Imines) Influences Biodistribution and Pharmacokinetics of Their Complexes with NF- κ B Decoy in Mice," *Pharmaceutical Research*, 19, 810-817 (2002)
143. Kusser, "Chemically modified nucleic acid aptamers for in vitro selections: evolving evolution," *Reviews in Molecular Biotechnology* 74:27-38 (2000)
144. Lasic and Needham "The 'Stealth' Liposome: A Prototypical Biomaterial," Chemical Reviews 95:2601-2627 (1995)
145. Lasic and Papahadjopoulos, "Liposomes Revisited," Science 267:1275-1276 (1995)
146. Lee and Larson, "Modified Liposome Formulations for Cytosolic Delivery of Macromolecules," *ACS Symposium Series* 752:184-192 (2000)
147. Lee and Lee, "Preparation of Cluster Glycosides of N-Acetylgalactosamine That Have Subnanomolar Binding Constants Towards the Mammalian Hepatic Gal/GalNAc-specific Receptor," Glyconjugates J. 4:317-328 (1987)
148. Lee et al., "Cell cycle aberrations by α -syncuclein over-expression and cyclin B immunoreactivity in Lewy bodies," *Neurobiology of Aging*, 24(5), 687-696 (2003)

149. Lee et al., "Expression of Small Interfering RNA's Targeted Against HIV-1 *rev* Transcripts in Human Cells," Nature Biotechnology 19:500-505 (2002)
150. Leirdal et al., "Gene silencing in mammalian cells by preformed small RNA duplexes," *Biochemical and Biophysical Research Communications*, 295, 744-748 (2002)
151. L'Huillier et al., "Cytoplasmic Delivery of Ribozymes Leads to Efficient Reduction in α -Lactalbumin mRNA Levels in C1271 Mouse," EMBO J. 11:4411-4418 (1992)
152. Lieber et al., "Stable High-Level Gene Expression in Mammalian Cells by T7 Phage RNA Polymerase," Methods Enzymol. 217:47-66 (1993)
153. Limbach et al., "Summary: the modified nucleosides of RNA," Nucleic Acids Research 22(12):2183-2196 (1994)
154. Lin and Matteucci, "A Cytosine Analogue Capable of Clamp-Like Binding to a Guanine in Helical Nucleic Acid," *J. Am. Chem. Soc.* 120:8531-8532 (1998)
155. Lin et al., "A Novel mRNA-cRNA Interference Phenomenon for Silencing bcl-2 Expression in Human LNCaP Cells," *Biochemical and Biophysical Research Communications*, 281, 639-644 (2001)
231. Lin et al., "Policing rogue genes," *Nature*, 402, 128-129 (1999)
156. Lisiewicz et al., "Inhibition of Human Immunodeficiency Virus Type 1 Replication by Regulated Expression of a Polymeric Tat Activation Response RNA Decoy as a Strategy for Gene Therapy in AIDS," Proc. Natl. Acad. Sci. U.S.A. 90:8000-8004 (1993)
157. Liu et al., "Cationic Liposome-mediated Intravenous Gene Delivery," J. Biol. Chem. 270(42):24864-24870 (1995)
158. Loakes, "The Applications of Universal DNA Base Analogues," Nucleic Acids Research 29:2437-2447 (2001)
159. Ma et al., "Design and Synthesis of RNA Miniduplexes via a Synthetic Linker Approach," Biochemistry 32:1751-1758 (1993)
160. Ma et al., "Design and Synthesis of RNA Miniduplexes via a Synthetic Linker Approach. 2. Generation of Covalently Closed, Double-Stranded Cyclic HIV-1 TAR RNA Analogs with High Tat-Binding Affinity," Nucleic Acids Research 21:2585-2589 (1993)
161. Martinez et al., "Single-Stranded Antisense siRNAs Guide Target RNA Cleavage in RNAi," Cell 110:563-574 (2002)

162. Masliah et al., "Dopaminergic Loss and Inclusion Body Formation in α -synuclein Mice: Implications for Neurodegenerative Disorders," *Science*, 287, 165-1269 (2000)
163. Maurer et al., "Lipid-based systems for the intracellular delivery of genetic drugs," *Molecular Membrane Biology* 16:129-140 (1999)
164. McCurdy et al., "Deoxyoligonucleotides with Inverted Polarity: Synthesis and Use in Triple-Helix Formation" *Nucleosides & Nucleotides* 10:287-290 (1991)
165. McGarry and Lindquist, "Inhibition of heat shock protein synthesis by heat-inducible antisense RNA," *Proc. Natl. Acad. Sci. USA* 83:399-403 (1986)
166. McManus et al., "Gene Silencing Using Micro-RNA Designed Hairpins," *RNA* 8:842-850 (2002)
167. Mesmaeker et al., "Novel Backbone Replacements for Oligonucleotides," *American Chemical Society*, pp. 24-39 (1994)
168. Miyagishi and Taira, "U6 Promoter-driven siRNAs with Four Uridine 3' Overhangs Efficiently Suppress Targeted Gene Expression in Mammalian Cells," *Nature Biotechnology* 19:497-500 (2002)
169. Moore and Sharp, "Site-Specific Modification of Pre-mRNA: The 2'-Hydroxyl Groups at the Splice Sites," *Science* 256:992-996 (1992)
170. Noonberg et al., *In vivo* generation of highly abundant sequence-specific oligonucleotides for antisense and triplex gene regulation," *Nucleic Acids Research* 22(14):2830-2836 (1994)
171. Novina et al., "siRNA-Directed Inhibition of HIV-1 Infection," *Nature Medicine* 1-6 (2002)
172. Nykanen et al., "ATP Requirements and Small Interfering RNA Structure in the RNA Interference Pathway," *Cell* 107:309-321 (2001)
173. Ohkawa et al., "Activities of HIV-RNA Targeted Ribozymes Transcribed From a 'Shot-Gun' Type Ribozyme-trimming Plasmid," *Nucleic Acids Symp. Ser.* 27:15-16 (1992)
174. Ojwang et al., "Inhibition of Human Immunodeficiency Virus Type 1 Expression by a Hairpin Ribozyme," *Proc. Natl. Acad. Sci. USA* 89:10802-10806 (1992)
175. Oku et al., "Real-time analysis of liposomal trafficking in tumor-bearing mice by use of positron emission tomography," *Biochimica et Biophysica Acta* 1238:86-90 (1995)

176. Ono et al., "DNA Triplex Formation of Oligonucleotide Analogues Consisting of Linker Groups and Octamer Segments That Have Opposite Sugar-Phosphate Backbone Polarities," Biochemistry 30:9914-9921 (1991)
177. Orgis et al., "DNA/polyethylenimine transfection particles: Influence of ligands, polymer size, and PEGylation on internalization and gene expression," *AAPS PharmSci.*, 3 (3) article 21 (<http://www.pharmsci.org>) p. 1- 11 (2001)
178. Pardridge et al., "Vector-mediated delivery of a polyamide ("peptide") nucleic acid analogue through the blood-brain barrier *in vivo*," *Proc. Natl. Acad. Sci. USA* 92:5592-5596 (1995)
179. Parrish, "Functional Anatomy of a dsRNA Trigger: Differential Requirement for the Two Trigger Strands in RNA Interference," Molecular Cell 6:1077-1087 (2000)
180. Paul et al., "Effective Expression of Small Interfering RNA in Human Cells," Nature Biotechnology 20:505-508 (2002)
181. Perreault et al., "Mixed Deoxyribo- and Ribo-Oligonucleotides with Catalytic Activity," Nature 344:565-567 (1990) (often mistakenly listed as Perrault)
182. Petersen et al., "Polyethylenimine-graft-Poly(ethylene glycol) Copolymers: Influence of Copolymer Block Structure on DNA Complexation and Biological Activities as Gene Delivery System, *Bioconjugate Chem.*, 13, 845-854 (2002)
183. Pieken et al., "Kinetic Characterization of Ribonuclease-Resistant 2'-Modified Hammerhead Ribozymes," Science 253:314-317 (1991)
184. Ponpipom et al., "Cell-Specific Ligands for Selective Drug Delivery to Tissues and Organs," J. Med. Chem. 24:1388-1395 (1981)
185. Rajakumar et al., "Effects of Intrastriatal Infusion of D₂ Receptor Antisense Oligonucleotide on Apomorphine-Induced Behaviors in the Rat," Synapse 26:199-208 (1997)
186. Reinhart and Bartel, "Small RNAs Correspond to Centromer Heterochromatic Repeats," Science 297:1831 (2002)
187. Reinhart et al., "MicroRNAs in Plants," Genes & Development 16:1616-1626 (2002)
188. Richardson and Schepartz, "Tethered Oligonucleotide Probes. A Strategy for the Recognition of Structured RNA," J. Am. Chem. Soc. 113:5109-5111 (1991)

189. Roses, Allen D., "Apolipoprotein E and Alzheimer's Disease: The Tip of the Susceptibility Iceberg," *Annals of the New York Academy of Sciences*, 855:738-743 (1998)
190. Sarver et al., "Ribozymes as Potential Anti-HIV-1 Therapeutic Agents" Science 247:1222-1225 (1990)
191. Scanlon et al., "Ribozyme-Mediated Cleavage of c-fos mRNA Reduces Gene Expression of DNA Synthesis Enzymes and Metallothionein," Proc. Natl. Acad. Sci. USA 88:10591-10595 (1991)
192. Scaringe et al., "Chemical synthesis of biologically active oligoribonucleotides using β -cyanoethyl protected ribonucleoside phosphoramidites," Nucl Acids Res. 18:5433-5441 (1990)
193. Schroeder et al., "Diffusion Enhancement of Drugs by Loaded Nanoparticles in Vitro," *Prog. Neuro-Psychopharmacol. & Biol. Psychiat.* 23:941-949 (1999)
[sometimes cited by RPI as *Prog Neuropsychopharmacol Biol Psychiatry* 23:941-949, 1999]
194. Schwarz et al., "Evidence that siRNAs Function as Guides, Not Primers, in the *Drosophila* and Human RNAi Pathways," Molecular Cell 10:537-548 (2002)
195. Seela and Kaiser, "Oligodeoxyribonucleotides containing 1,3-propanediol as nucleoside substitute," Nucleic Acids Research 15:3113-3129 (1987)
196. Senger et al., "Vascular permeability factor (VPF, VEGF) in tumor biology," *Cancer and Metastasis Reviews* 12:303-324 (1993)
197. Shabarova et al., "Chemical ligation of DNA: The first non-enzymatic assembly of a biologically active gene," Nucleic Acids Research 19:4247-4251 (1991)
232. Sharp et al., "RNAi and double-strand RNA," *Genes & Development*, 13:139-141 (1999)
198. Sheehan et al., "Biochemical properties of phosphonoacetate and thiophosphonoacetate oligodeoxyribonucleotides," *Nucleic Acids Research*, 31 (14), 4109-4118 (2003)
199. Sommer et al., "The Spread and Uptake Pattern of Intracerebrally Administered Oligonucleotides in Nerve and Glial Cell Populations of the Rat Brain," Antisense & Nucleic Acid Drug Development 8:75-85 (1998)

233. Strauss, Evelyn, "Molecular Biology: Candidate 'Gene Silencers' Found," *Molecular Biology*, Vol. 286, No. 5441, p. 886 (1999) [sometimes mistakenly referred to as being published in *Science*]
200. Sullenger and Cech, "Tethering Ribozymes to a Retroviral Packaging Signal for Destruction of Viral RNA," *Science* 262:1566-1569 (1993)
201. Sun, "Technology evaluation: SELEX, Giliad Sciences Inc," *Current Opinion in Molecular Therapeutics* 2:100-105 (2000)
202. Taira et al., "Construction of a novel RNA-transcript-trimming plasmid which can be used both *in vitro* in place of run-off and (G)-free transcriptions and *in vivo* as multi-sequences transcription vectors," *Nucleic Acids Research* 19:5125-5130 (1991)
203. Thomas et al., "Enhancing polyethylenimine's delivery of plasmid DNA into mammalian cells," *PNAS*, 99, 14640-14645 (2002)
204. Thompson et al., "Improved accumulation and activity of ribozymes expressed from a tRNA-based RNA polymerase III promoter," *Nucleic Acids Research* 23:2259-2268 (1995)
205. Turner et al., "Improved Parameters for Prediction of RNA Structure," *Cold Spring Harbor Symposia on Quantitative Biology* Volume LII, pp. 123-133 (1987)
206. Turner et al., "Free Energy Increments for Hydrogen Bonds in Nucleic Acid Base Pairs," *J. Am. Chem. Soc.* 109:3783-3785 (1987)
207. Tuschl et al., "Small Interfering RNAs: A Revolutionary Tool for Analysis of Gene Function and Gene Therapy," *Molecular Interventions*, 295, 3, 158-167 (2002)
208. Tuschl et al., "Targeted mRNA Degradation by Double-Stranded RNA In Vitro," *Genes & Development* 13:3191-3197 (1999)
209. Tuschl, "RNA Interference and Small Interfering RNAs," *Chembiochem* 2:239-245 (2001)
210. Tyler et al., "Peptide nucleic acids targeted to the neurotensin receptor and administered i.p. cross the blood-brain barrier and specifically reduce gene expression," *Proc. Natl. Acad. Sci. USA* 96:7053-7058 (1999)
211. Tyler et al., "Specific gene blockade shows that peptide nucleic acids readily enter neuronal cells in vivo," *FEBS Letters* 421:280-284 (1998)
212. Uhlmann and Peyman, "Antisense Oligonucleotides: A New Therapeutic Principle," *Chemical Reviews* 90:544-584 (1990)

213. Usman and Cedergren, "Exploiting the chemical synthesis of RNA," TIBS 17:334-339 (1992)
214. Usman et al., "Automated Chemical Synthesis of Long Oligoribonucleotides Using 2'-O-Silylated Ribonucleoside 3'-O-Phosphoramidites on a Controlled-Pore Glass Support: Synthesis of a 43-Nucleotide Sequence Similar to the 3'-Half Molecule of an *Escherichia coli* Formylmethoionine tRNA," J. Am. Chem. Soc. 109:7845-7854 (1987)
215. Usman et al., "Chemical modification of hammerhead ribozymes: activity and nuclease resistance," Nucleic Acids Symposium Series 31:163-164 (1994)
216. Ventura et al., "Activation of HIV-Specific Ribozyme Activity by Self-Cleavage," Nucleic Acids Research 21:3249-3255 (1993)
217. Verma and Eckstein, "Modified Oligonucleotides: Synthesis and Strategy for Users," Annu. Rev. Biochem. 67:99-134 (1998)
218. Volpe et al., "Regulation of Heterochromatic Silencing and Histone H3 Lysine-9 Methylation by RNAi," Science 297:1833-1837 (2002)
234. Waterhouse et al., "Virus resistance and gene silencing in plants can be induced by simultaneous expression of sense and antisense RNA," Proc. Natl. Acad. Sci. USA, 95, 13959-13964 (1998)
219. Weerasinghe et al., "Resistance to Human Immunodeficiency Virus Type 1 (HIV-1) Infection in Human CD4⁺ Lymphocyte-Derived Cell Lines Conferred by Using Retroviral Vectors Expressing an HIV-1 RNA-Specific Ribozyme," Journal of Virology 65:5531-5534 (1994)
220. Wianny and Zernicka-Goetz et al., "Specific Interference with Gene Function by Double-Stranded RNA in Early Mouse Development," Nature Cell Biology 2:70-75 (2000)
221. Wincott et al., "Synthesis, deprotection, analysis and purification of RNA and ribozymes," Nucleic Acids Research 23(14):2677-2684 (1995)
222. Wincott et al., "A Practical Method for the Production of RNA and Ribozymes," Methods in Molecular Biology 74:59-69 (1997)
223. Wu and Wu, "Receptor-mediated *in Vitro* Gene Transformation by a Soluble DNA Carrier System," The Journ. of Biol. Chem. 262:4429-4432 (1987)
224. Wu-Pong et al., "Nucleic Acid Drug Delivery, Part 2; Delivery to the Brain," BioPharm 32-38 (1999)

225. Yamada et al., "Nanoparticles for the delivery of genes and drugs to human hepatocytes," *Nature Biology*, Published online: 29 June 2003, doi:10.1038/nbt843 (August 2003 Volume 21 Number 8 pp 885-890) (2003)
226. Yu et al., "A Hairpin Ribozyme Inhibits Expression of Diverse Strains of Human Immunodeficiency Virus Type 1," *Proc. Natl. Acad. Sci. USA* 90:6340-6344 (1993)
227. Zamore et al., "RNAi: Double-Stranded RNA Directs the ATP-Dependent Cleavage of mRNA at 21 to 23 Nucleotide Intervals," *Cell* 101:25-33 (2000)
228. Zhou et al., "Synthesis of Functional mRNA in Mammalian Cells by Bacteriophage T3 RNA Polymerase," *Mol. Cell. Biol.* 10:4529-4537 (1990)
229. Dawson et al., "Molecular Pathways of Nuerodegeneration in Parkinson's Disease," *Science*, Vol. 302, October 31, 2003

Respectfully submitted,

McDonnell Boehnen Hulbert & Berghoff

Date: August 3, 2004 By:


Anita J. Terpstra

Reg. No. 47,132

McDonnell Boehnen Hulbert & Berghoff LLP
300 South Wacker Drive, 32nd Floor
Chicago, IL 60606
Telephone: 312-913-0001
Facsimile: 312-913-0002

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office



**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use several sheets if necessary)

Atty. Docket No.

04-372
(400/137)

Serial No.

10/698,311

Applicant:

McSwiggen et al.

Filing Date:

October 31, 2003

Group:

1632

U.S. PATENT APPLICATION DOCUMENTS

Examiner Initial		Document Number	Filing Date	Name	Class	Subclass	Publication Date if Appropriate
	*	10/151,116	05/17/02	Matulic-Adamic et al.			
	*	10/201,394	08/13/01	Vargeese et al.			
	*	10/427,160	04/30/03	Vargeese et al.			
	*	2001/0007666	07/12/01	Hoffman et al.			
	*	2002/0130430	12/29/00	Caster			
	*	60/082,404	04/20/98	Thompson et al.			
	*	60/358,580	02/20/02	Beigelman et al.			
	*	60/363,124	03/11/02	Beigelman et al.			
	*	60/386,782	06/06/02	Beigelman et al.			
	*	60/393,796	07/03/02	Beigelman et al.			
	*	60/399,348	07/29/02	Beigelman et al.			
	*	60/402,996	08/13/02	Usman et al.			
	*	60/406,784	08/29/02	Beigelman et al.			
	*	60/408,378	09/05/02	Beigelman et al.			
	*	60/409,293	09/09/02	Beigelman et al.			

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

04-372
(400/137)

Serial No.

10/698,311

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use several sheets if necessary)

Applicant:

McSwiggen et al.

Filing Date:

October 31, 2003

Group:

1632

	*	60/440,129	01/15/03	Beigelman et al.			
--	---	------------	----------	------------------	--	--	--

U.S. PATENT DOCUMENTS

Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
	*	5,138,045	08/11/92	Cook et al.			
	*	5,214,136	05/25/93	Lin et al.			
	*	5,334,711	08/02/94	Sproat			
	*	5,624,803	04/29/97	Noonberg et al.			
	*	5,627,053	05/06/97	Usman et al.			
	*	5,631,360	05/20/97	Usman et al.			
	*	5,670,633	09/23/97	Cook et al.			
	*	5,716,824	02/10/98	Beigelman et al.			
	*	5,792,847	08/11/98	Buhr et al.			
	*	5,804,683	09/08/98	Usman et al.			
	*	5,814,620	09/29/98	Robinson et al.			
	*	5,831,071	11/03/98	Usman et al.			
	*	5,854,038	12/29/98	Cech et al.			
	*	5,889,136	03/30/99	Scaringe et al.			

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

04-372
(400/137)

Serial No.

10/698,311.

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use several sheets if necessary)

Applicant:

McSwiggen et al.

Filing Date:

October 31, 2003

Group:

1632

	*	5,898,031	04/27/99	Crooke			
	*	5,902,880	05/11/99	Thompson et al.			
	*	5,998,203	12/07/99	Adamic et al.			
	*	6,001,311	12/14/99	Brennan			
	*	6,005,087	12/21/99	Cook et al.			
	*	6,008,400	12/28/99	Scaringe et al.			
	*	6,054,576	04/25/00	Bellon et al.			
	*	6,107,094	08/22/00	Crooke			
	*	6,111,086	08/29/00	Scaringe et al.			
	*	6,117,657	09/12/00	Usman et al.			
	*	6,146,886	11/14/00	Thompson et al.			
	*	6,153,737	11/28/00	Manoharan et al.			
	*	6,162,909	12/19/00	Bellon et al.			
	*	6,180,613	01/30/01	Kaplitt et al.			
	*	6,235,310	05/22/01	Wang et al.			
	*	6,235,886	05/22/01	Manoharan et al.			
	*	6,300,074	10/09/01	Gold			
	*	6,303,773	10/16/01	Bellon et al.			
	*	6,335,434	01/01/02	Guzaev et al.			

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

04-372
(400/137)

Serial No.

10/698,311

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use several sheets if necessary)

Applicant:

McSwiggen et al.

Filing Date:

October 31, 2003

Group:

1632

	*	6,353,098	03/05/02	Usman et al.			
	*	6,362,323	03/26/01	Usman et al.			
	*	6,395,713	05/28/02	Beigelman et al.			
	*	6,437,117	08/20/02	Usman et al.			
	*	6,447,796	09/10/02	Vook et al.			
	*	6,469,158	10/22/02	Usman et al.			
	*	6,476,205	11/05/02	Buhr et al.			
	*	6,506,559	06/14/03	Fire et al.			
	*	6,528,631	03/04/03	Cook et al.			
	*	6,586,524	07/01/03	Sagara et al.			

FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No
	1.	4037501		AU (Graham et al.)				
	2.	2,359,180	08/03/00	CA (Kreutzer et al.)				
	3.	1144623 B1	01/29/02	EP (Kreutzer et al.)				
	4.	89/02439	03/23/89	WO (Arnold et al.)				

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

04-372
(400/137)

Serial No.

10/698,311

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use several sheets if necessary)

Applicant:

McSwiggen et al.

Filing Date:

October 31, 2003

Group:

1632

5.	90/14090	11/29/90	WO (Gillespie et al.)				
6.	91/03162	03/21/91	WO (Rossi et al.)				
7.	92/07065	04/30/92	WO (Eckstein et al.)				
8.	93/15187	08/05/93	WO (Usman et al.)				
9.	93/23569	11/25/93	WO (Draper et al.)				
10.	94/01550	01/20/94	WO (Agrawal et al.)				
11.	94/02595	02/03/94	WO (Sullivan et al.)				
12.	95/06731	03/09/95	WO (Usman et al.)				
13.	95/11910	05/04/95	WO (Dudycz et al.)				
14.	96/10390	04/11/96	WO (Ansell et al.)				
15.	96/10391	04/11/96	WO (Choi et al.)				
16.	96/10392	04/11/96	WO (Holland et al.)				
17.	96/18736	06/20/96	WO (Beigelman, et al.)				
18.	97/26270	07/24/97	WO (Beigelman et al.)				
19.	98/13526	04/02/98	WO (Woolf et al.)				
20.	99/07409	02/18/99	WO (Deschamps Depaillette et al.)				
21.	99/14226	03/25/99	WO (Wengel et al.)				
22.	99/31262	06/24/99	WO (Barry et al.)				
23.	99/32619	07/01/99	WO (Fire et al.)				

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

04-372
(400/137)

Serial No.

10/698,311

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use several sheets if necessary)

Applicant:

McSwiggen et al.

Filing Date:

October 31, 2003

Group:

1632

	24.	99/49029	09/30/99	WO (Graham et al.)				
	25.	99/53050	10/21/99	WO (Waterhouse et al.)				
	26.	99/54459	10/28/99	WO (Thompson et al.)				
	230.	99/61631	12/02/99	WO (Heifetz et al.)				
	27.	00/01846	01/13/00	WO (Plaetinck et al.)				
	28.	00/44895	08/03/00	WO (Kreutzer et al.)				
	29.	00/44914	08/03/00	WO (Li et al.)				
	30.	00/49035	08/24/00	WO (Jen Sheen)				
	31.	00/53722	09/14/00	WO (O'Hare and Normand)				
	32.	00/63364	10/26/00	WO (Pachuk et al.)				
	33.	00/66604	11/09/00	WO (Wengel et al.)				
	34.	01/04313	01/18/01	WO (Satishchandran et al.)				
	35.	01/29058	04/26/01	WO (Mello et al.)				
	36.	01/36646	05/25/01	WO (Zernicka-Goetz et al.)				
	37.	01/38551	05/31/01	WO (Grossniklaus)				
	38.	01/42443	06/14/01	WO (Churikov et al.)				
	39.	01/49844	07/12/01	WO (Driscoll et al.)				
	40.	01/53475	07/26/01	WO (Cogoni et al.)				
	41.	01/68836	09/20/01	WO (Beach et al.)				

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

04-372
(400/137)

Serial No.

10/698,311

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use several sheets if necessary)

Applicant:

McSwiggen et al.

Filing Date:

October 31, 2003

Group:

1632

	42.	01/70944	09/27/01	WO (Honer et al.)				
	43.	01/70949	09/27/01	WO (Graham et al.)				
	44.	01/72774	10/04/01	WO (Deak et al.)				
	45.	01/75164	10/11/01	WO (Tuschl et al.)				
	46.	01/92513	12/06/01	WO (Arndt et al.)				
	47.	01/96584	12/20/01	WO (Mushegian et al.)				
	48.	02/22636	03/21/02	WO (Bennett et al.)				
	49.	02/38805	05/16/02	WO (Echeverri et al.)				
	50.	02/44321	06/06/02	WO (Tuschl et al.)				
	51.	02/55692	07/18/02	WO (Kreutzer et al.)				
	52.	02/55693	07/18/02	WO (Kreutzer et al.)				
	53.	PCT/US03/05028	02/20/03	WO (McSwiggen et al.)				
	54.	PCT/US03/05346	02/20/03	WO (McSwiggen et al.)				
	55.	03/046185	06/05/03	WO (Wang et al.)				
	56.	03/047518	06/12/03	WO (Wang et al.)				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc).

57.	Akhtar and Juliano, "Cellular Uptake and Intracellular Fate of AntiSense Oligonucleotides," Trends Cell Biol. 2:139-144 (1992)
-----	--

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

04-372
(400/137)

Serial No.

10/698,311

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(Use several sheets if necessary)

Applicant:

McSwiggen et al.

Filing Date:

October 31, 2003

Group:

1632

58.	Aldrian-Herrada et al., "A peptide nucleic acid (PNA) is more rapidly internalized in cultured neurons when coupled to a <i>retro-inverso</i> delivery peptide. The antisense activity depresses the target mRNA and protein in magnocellular oxytocin neurons," <u>Nucleic Acids Research</u> 26:4910-4916 (1998)
59.	Allshire, "RNAi and Heterochromatin - A Hushed-up Affair," <u>Science</u> 297:1818-1819 (2002)
60.	Andrews and Faller, "A rapid micropreparation technique for extraction of DNA-binding proteins from limiting numbers of mammalian cells," <u>Nucleic Acids Research</u> 19:2499 (1991)
61.	Baenziger and Fiete, "Galactose and N-Acetylgalactosamine-Specific Endocytosis of Glycopeptides by Isolated Rat Hepatocytes," <u>Cell</u> 22:611-620 (1980)
62.	Bahramian et al., "Transcriptional and Posttranscriptional Silencing of Rodent $\alpha 1(I)$ Collagen by a Homologous Transcriptionally Self-Silenced Transgene," <u>Molecular and Cellular Biology</u> , 19:274-283 (1999)
63.	Bannai et al., "Effect of Injection of Antisense of Oligodeoxynucleotides of GAD Isozymes into Rat Ventromedial Hypothalamus on Food Intake and Locomotor Activity," <u>Brain Research</u> 784:305-315 (1998)
64.	Bannai et al., "Water-absorbent Polymer as a Carrier for a Discrete Deposit of Antisense Oligodeoxynucleotides in the Central Nervous System," <u>Brain Research Protocols</u> 3:83-87 (1998)
65.	Bass, "The short answer," <u>Nature</u> 411:428-429 (2001)
66.	Beigelman et al., "Chemical Modification of Hammerhead Ribozymes," <u>The Journal of Biological Chemistry</u> 270:25702-25708 (1995)
67.	Bellon et al., "Amino-Linked Ribozymes: Post-Synthetic Conjugation of Half-Ribozymes," <u>Nucleosides & Nucleotides</u> 16:951-954 (1997)
68.	Bellon et al., "Post-synthetically Ligated Ribozymes: An Alternative Approach to Iterative Solid Phase Synthesis," <u>Bioconjugate Chem.</u> 8:204-212 (1997)

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449 (Rev. 2-32)	U.S. Department of Commerce Patent and Trademark Office	Atty. Docket No. 04-372 (400/137)	Serial No. 10/698,311
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Applicant:	
(Use several sheets if necessary)		McSwiggen et al.	
		Filing Date:	Group:
		October 31, 2003	1632

69.	Bernstein et al., "Role for a Bidentate Ribonuclease in the Initiation Step of RNA Interference," <i>Nature</i> 409:363-366 (2001)
70.	Bettinger et al., "Size Reduction of Galactosylated PEI/DNA Complexes Improves Lectin-Mediated Gene Transfer into Hepatocytes," <i>Bioconjugate Chem.</i> , 10, 558-561 (1999)
71.	Boado et al., "Drug Delivery of Antisense Molecules to the Brain for Treatment of Alzheimer's Disease and Cerebral AIDS," <i>Journal of Pharmaceutical Sciences</i> 87:1308-1315 (1998)
72.	Boado, "Antisense drug delivery through the blood-brain barrier," <i>Advanced Drug Delivery Reviews</i> 15:73-107 (1995)
73.	Bonifati et al., "Mutations in the <i>DJ-1</i> Gene Associated with Autosomal Recessive Early-Onset Parkinsonism," <i>Science</i> , doi:10.1126/science.1077209 (2002)
74.	Brennan et al., "Two-Dimensional Parallel Array Technology as a New Approach to Automated Combinatorial Solid-Phase Organic Synthesis," <i>Biotechnology and Bioengineering (Combinatorial Chemistry)</i> 61:33-45 (1998)
75.	Broaddus et al., "Distribution and stability of antisense phosphorothioate oligonucleotides in rodent brain following direct intraparenchymal controlled-rate infusion," <i>Neurosurg. Focus</i> 3(5):Article 4 (1997)
75.	Broaddus et al., "Distribution and stability of antisense phosphorothioate oligonucleotides in rodent brain following direct intraparenchymal controlled-rate infusion," <i>J Neurosurg</i> 88:734-742 (1998)
77.	Brody and Gold, "Aptamers as therapeutic and diagnostic agents," <i>Reviews in Molecular Biotechnology</i> 74:5-13 (2000)
78.	Burgin et al., "Chemically Modified Hammerhead Ribozymes with Improved Catalytic Rates," <i>Biochemistry</i> 35:14090-14097 (1996) (volume no. mistakenly listed as 6)
79.	Burlina et al., "Chemical Engineering of RNase Resistant and Catalytically Active Hammerhead Ribozymes," <i>Bioorganic & Medicinal Chemistry</i> 5:1999-2010 (1997)

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

04-372
(400/137)

Serial No.

10/698,311.

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use several sheets if necessary)

Applicant:

McSwiggen et al.

Filing Date:

October 31, 2003

Group:

1632

80.	Caruthers et al., "Chemical Synthesis of Deoxyoligonucleotides and Deoxyoligonucleotide Analogs," <u>Methods in Enzymology</u> 211:3-19 (1992)
81.	Chen et al., "Multitarget-Ribozyme Directed to Cleave at up to Nine Highly Conserved HIV-1 env RNA Regions Inhibits HIV-1 Replication-Potential Effectiveness Against Most Presently Sequenced HIV-1 Isolates," <u>Nucleic Acids Research</u> 20:4581-4589 (1992)
82.	Chiu and Rana, "siRNA function in RNAi: A chemical modification analysis," <u>RNA</u> , 9, 1034-1048 (2003)
83.	Choi et al., "Effect of Poly(ethylene glycol) Grafting on Polyethylenimine as a Gene Transfer Vector <i>in vitro</i> ," <u>Bull. Korean Chem. Soc.</u> , 22, 46-52 (2001)
81.	Chowrira et al., " <i>In Vitro</i> and <i>in Vivo</i> Comparison of Hammerhead, Hairpin, and Hepatitis Delta Virus Self-Processing Ribozyme Cassettes," <u>J. Biol. Chem.</u> 269:25856-25864 (1994)
85.	Chun et al., "Effect of infusion of vasoactive intestinal peptide (VIP)-antisense oligodeoxynucleotide into the third cerebral ventricle above the hypothalamic cuprachiasmatic nucleus on the hyperglycemia caused by intracranial injection of 2-deoxy-D-glucose in rats," <u>Neuroscience Letters</u> 257:135-138 (1998)
86.	Cload and Schepartz, "Polyether Tethered Oligonucleotide Probes," <u>J. Am. Chem. Soc.</u> 113:6324-6326 (1991)
87.	Connolly et al., "Binding and Endocytosis of Cluster Glycosides by Rabbit Hepatocytes," <u>The Journ. of Biol. Chem.</u> 257:939-945 (1982)
88.	Conry et al., "Phase I Trial of a Recombinant Vaccinia Virus Encoding Carcinoembryonic Antigen in Metastatic Adenocarcinoma: Comparison of Intradermal <i>versus</i> Subcutaneous Administration," <u>Clinical Cancer Research</u> 5:2330-2337 (1999)
89.	Couture and Stinchcomb, "Anti-gene therapy: the use of ribozymes to inhibit gene function," <u>Trends In Genetics</u> 12:510-515 (1996)
90.	d'Aldin et al., "Antisense oligonucleotides to the GluR2 AMPA receptor subunit modify excitatory synaptic transmission <i>in vivo</i> ," <u>Molecular Brain Research</u> 55:151-164 (1998)

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449 (Rev. 2-32)	U.S. Department of Commerce Patent and Trademark Office	Atty. Docket No. 04-372 (400/137)	Serial No. 10/698,311
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)		Applicant: McSwiggen et al.	
		Filing Date: October 31, 2003	Group: 1632

91.	Dawson et al., "Rare genetic mutations shed light on the pathogenesis of Parkinson disease," <i>The Journal of Clinical Investigation</i> , 111(2), 145-151 (2003)
92.	Diebold et al., "Mannose Polyethylenimine Conjugates for Targeted DNA Delivery into Dendritic Cells*," <i>The Journal of Biological Chemistry</i> , 274, 19087-19094 (1999)
93.	Dropulic et al., "Functional Characterization of a U5 Ribozyme: Intracellular Suppression of Human Immunodeficiency Virus Type I Expression," <i>Journal of Virology</i> 66:1432-1441 (1992)
94.	Dryden et al., "The lack of specificity of neuropeptide Y (NPY) antisense oligodeoxynucleotides administered intracerebroventricularly in inhibiting food intake and NPY gene expression in the rat hypothalamus," <i>Journal of Endocrinology</i> 157:169-175 (1998)
95.	Durand et al., "Circular Dichroism Studies of an Oligodeoxyribonucleotide Containing a Hairpin Loop Made of a Hexaethylene Glycol Chain: Conformation and Stability," <i>Nucleic Acids Research</i> 18:6353-6359 (1990) [sometimes referred to as Seela and Kaiser]
96.	Earnshaw et al., "Modified Oligoribonucleotides as Site-Specific Probes of RNA Structure and Function," <i>Biopolymers</i> 48:39-55 (1998)
97.	Elbashir et al., "Duplexes of 21-nucleotide RNAs mediate RNA interference in cultured mammalian cells," <i>Nature</i> 411:494-498 (2001)
98.	Elbashir et al., "Functional Anatomy of siRNAs for Mediating Efficient RNAi in <i>Drosophila Melanogaster</i> Embryo Lysate," <i>The EMBO Journal</i> 20:6877-6888 (2001)
99.	Elbashir et al., "RNA Interference is Mediated by 21- and 22-Nucleotide RNAs," <i>Genes and Development</i> 15:188-200 (2001)
100.	Elkins and Rossi, "Ch. 2 - Cellular Delivery of Ribozymes," in <i>Delivery Strategies for Antisense Oligonucleotide Therapeutics</i> , edited by Akhtar, CRC Press, pp. 17-220 (1995)
101.	Elroy-Stein and Moss, "Cytoplasmic Expression System Based on Constitutive Synthesis of Bacteriophage T7 RNA Polymerase in Mammalian Cells," <i>Proc. Natl. Acad. Sci. USA</i> 87:6743-6747 (1990)

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

04-372
(400/137)

Serial No.

10/698,311

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use several sheets if necessary)

Applicant:

McSwiggen et al.

Filing Date:

October 31, 2003

Group:

1632

102.	Emerich et al., "Biocompatibility of Poly (DL-Lactide-co-Glycolide) Microspheres Implanted Into the Brain," <i>Cell Transplantation</i> 8:47-58 (1999)
103.	Epa et al., "Downregulation of the p75 Neurotrophin Receptor in Tissue Culture and <i>In Vivo</i> , Using β -Cyclodextrin-Adamantane-Oligonucleotide Conjugates," <i>Antisense and Nucleic Acid Drug Dev.</i> 10:469-478 (2000)
104.	Erbacher et al., "Transfection and physical properties of various saccharide, poly(ethylene glycol), and antibody-derivatized polyethylenimines (PEI), <i>The Journal of Gene Medicine</i> , 1, 210-222 (1999) [sometimes incorrectly cited as pages 1-18]
105.	Ferentz and Verdine, "Disulfied Cross-Linked Oligonucleotides," <i>J. Am. Chem. Soc.</i> 113:4000-4002 (1991)
106.	Fire et al., "Potent and Specific Genetic Interference by Double-Stranded RNA in <i>Caenorhabditis Elegans</i> ," <i>Nature</i> 391:806-811(1998)
107.	Fire, "RNA-triggered Gene Silencing," <i>TIG</i> 15:358-363(1999)
108.	Freier et al., "Improved free-energy parameters for predictions of RNA duplex stability," <i>Proc. Natl. Acad. Sci. USA</i> 83:9373-9377 (1986) [sometimes referred to as Frier]
109.	Furgeson et al., "Modified Linear Polyethylenimine—Cholesterol Conjugates for DNA Complexation," <i>Bioconjugate Chem.</i> , 14, 840-847 (2003)
110.	Futami et al., "Induction of apoptosis in HeLa cells with siRNA expression vector targeted against bcl-2," <i>Nucleic Acids Research Supplement</i> , 251-252 (2002)
111.	Gao and Huang, "Cytoplasmic Expression of a Reporter Gene by Co-Delivery of T7 RNA Polymerase and T7 Promoter Sequence with Cationic Liposomes," <i>Nucleic Acids Research</i> 21:2867-2872 (1993)
112.	Ghirnikar et al., "Chemokine inhibition in rat stab wound brain injury using antisense oligodeoxynucleotides," <i>Neuroscience Letters</i> 247:21-24 (1998)
113.	Godbey et al., "Tracking the intracellular path of poly(ethylenimine)/DNA complexes for gene delivery," <i>Proc. Natl. Acad. Sci. USA</i> , 96, 5177-5181 (1999)

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

04-372
(400/137)

Serial No.

10/698,311

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use several sheets if necessary)

Applicant:

McSwiggen et al.

Filing Date:

October 31, 2003

Group:

1632

114.	Godbey et al., Poly(ethylenimine) and its role in gene delivery," <i>Journal of Controlled Release</i> , 60, 149-160 (1999)
115.	Gold et al., "Diversity of Oligonucleotide Functions," <i>Annu. Rev. Biochem.</i> 64:763-797 (1995)
116.	Gold, "Axonal Regeneration of Sensory Nerves is Delayed by Continuous Intrathecal Infusion of Nerve Growth Factor," <i>Neuroscience</i> 76:1153-1158 (1997)
117.	Gonzalez et al., "New Class of Polymers for the Delivery of Macromolecular Therapeutics," <i>Bioconjugate Chem.</i> 10:1068-1074 (1999)
118.	Good et al., "Expression of small, therapeutic RNAs in human nuclei," <i>Gene Therapy</i> 4:45-54 (1997)
119.	Groothuis and Levy, "The entry of antiviral and antiretroviral drugs into the central nervous system," <i>Journal of NeuroVirology</i> 3:387-400 (1997)
120.	Hall et al., "Establishment and Maintenance of a Heterochromatin Domain," <i>Science</i> 297:2232-2237 (2002)
121.	Hamilton, et al., "A Species of Small Antisense RNA in Posttranscriptional Gene Silencing in Plants," <i>Science</i> , 286, 950-952 (1999))
122.	Hammond et al., "An RNA-Directed Nuclease Mediates Post-Transcriptional Gene Silencing in <i>Drosophila</i> Cells," <i>Nature</i> 404:293-296 (2000)
123.	Harborth et al., "Sequence, Chemical, and Structural Variation of Small Interfering RNAs and Short Hairpin RNAs and the Effect on Mammalian Gene Silencing," <i>Antisense and Nucleic Acid Drug Development</i> , 13:83-105 (2003)
124.	Hermann and Patel, "Adaptive Recognition by Nucleic Acid Aptamers," <i>Science</i> 287:820-825 (2000)
125.	Ho et al., "Antisense Oligonucleotides for Target Validation in the CNS," <i>Current Opinion in Molecular Therapeutics</i> 1:336-343 (1999)

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

04-372
(400/137)

Serial No.

10/698,311

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use several sheets if necessary)

Applicant:

McSwiggen et al.

Filing Date:

October 31, 2003

Group:

1632

126.	Hofland and Huang, "Formulation and Delivery of Nucleic Acids," <i>Handbook of Exp. Pharmacol.</i> 137:165-192 (1999)
127.	Hunziker et al., "Nucleic Acid Analogues: Synthesis and Properties, in Modern Synthetic Methods," <i>VCH</i> , 331-417
128.	Hutvagner and Zamore, "A MicroRNA in a Multiple-Turnover RNAi Enzyme Complex," <i>Science</i> 297:2056-2060 (2002)
129.	Hutvagner et al., "A Cellular Function for the RNA-Interference Enzyme Dicer in the Maturation of the <i>let-7</i> Small Temporal RNA," <i>Science</i> 293:834-838 (2001)
130.	International Search Report for PCT/US03/05028, mailed October 17, 2003
131.	International Search Report for PCT/US03/05346, mailed October 17, 2003
132.	Ishiwata et al., "Physical-Chemistry Characteristics and Biodistribution of Poly(ethylene glycol)-Coated Liposomes Using Poly(oxyethylene) Cholesteryl Ether," <i>Chem. Pharm. Bull.</i> 43:1005-1011 (1995) (mistakenly referred to as Ishiwataet)
133.	Iwata et al., " α -Synuclein Affects the MAPK Pathway and Accelerates Cell Death," <i>The Journal of Biological Chemistry</i> , 276(48), 45320-45329 (2001)
134.	Izant and Weintraub, "Constitutive and Conditional Suppression of Exogenous and Endogeneous Genes by Anti-Sense RNA," <i>Science</i> 229:345-352 (1985)
135.	Jaschke et al., "Automated Incorporation of Polyethylene Glycol into Synthetic Oligonucleotides," <i>Tetrahedron Letters</i> 34:301-304 (1993) (sometimes mistakenly referred to as Jsckhe)
136.	Jayasena, "Aptamers: An Emerging Class of Molecules that Rival Antibodies in Diagnostics," <i>Clinical Chemistry</i> 45:1628-1650 (1999)
137.	Jenuwein, "An RNA-Guided Pathway for the Epigenome," <i>Science</i> 297:2215-2218 (2002)
138.	Jolliet-Riant and Tillement, "Drug transfer across the blood-brain barrier and improvement of brain delivery," <i>Fundam. Clin. Pharmacol.</i> 13:16-26 (1999)

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

04-372
(400/137)

Serial No.

10/698,311

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use several sheets if necessary)

Applicant:

McSwiggen et al.

Filing Date:

October 31, 2003

Group:

1632

139.	Karle et al., "Differential Changes in Induced Seizures After Hippocampal Treatment of Rats with an Antisense Oligodeoxynucleotide to the GABA _A Receptor $\gamma 2$ Subunit," <u>Euro. Jour. of Pharmacology</u> 340:153-160 (1997)
140.	Karpeisky et al, "Highly Efficient Synthesis of 2'-O-Amino Nucleosides And Their Incorporation in Hammerhead Ribozymes," <u>Tetrahedron Letters</u> 39:1131-1134 (1998)
141.	Kashani-Sabet et al., "Reversal of the Malignant Phenotype by an Anti-ras Ribozyme," <u>Antisense Research & Development</u> 2:3-15 (1992)
142.	Kunath et al., "The Structure of PEG-Modified Poy(Ethylene Imines) Influences Biodistribution and Pharmacokinetics of Their Complexes with NF- κ B Decoy in Mice," <u>Pharmaceutical Research</u> , 19, 810-817 (2002)
143.	Kusser, "Chemically modified nucleic acid aptamers for in vitro selections: evolving evolution," <u>Reviews in Molecular Biotechnology</u> 74:27-38 (2000)
144.	Lasic and Needham "The 'Stealth' Liposome: A Prototypical Biomaterial," <u>Chemical Reviews</u> 95:2601-2627 (1995)
145.	Lasic and Papahadjopoulos, "Liposomes Revisited," <u>Science</u> 267:1275-1276 (1995)
146.	Lee and Larson, "Modified Liposome Formulations for Cytosolic Delivery of Macromolecules," <u>ACS Symposium Series</u> 752:184-192 (2000)
147.	Lee and Lee, "Preparation of Cluster Glycosides of N-Acetylgalactosamine That Have Subnanomolar Binding Constants Towards the Mammalian Hepatic Gal/GalNAc-specific Receptor," <u>Glyconjugates J.</u> 4:317-328 (1987)
148.	Lee et al., "Cell cycle aberrations by α -syncuclein over-expression and cyclin B immunoreactivity in Lewy bodies," <u>Neurobiology of Aging</u> , 24(5), 687-696 (2003)
149.	Lee et al., "Expression of Small Interfering RNA's Targeted Against HIV-1 rev Transcripts in Human Cells," <u>Nature Biotechnology</u> 19:500-505 (2002)
150.	Leirdal et al., "Gene silencing in mammalian cells by preformed small RNA duplexes," <u>Biochemical and Biophysical Research Communications</u> , 295, 744-748 (2002)

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

04-372
(400/137)

Serial No.

10/698,311

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use several sheets if necessary)

Applicant:

McSwiggen et al.

Filing Date:

October 31, 2003

Group:

1632

151.	L'Huillier et al., "Cytoplasmic Delivery of Ribozymes Leads to Efficient Reduction in α -Lactalbumin mRNA Levels in C1271 Mouse," <u>EMBO J.</u> 11:4411-4418 (1992)
152.	Lieber et al., "Stable High-Level Gene Expression in Mammalian Cells by T7 Phage RNA Polymerase," <u>Methods Enzymol.</u> 217:47-66 (1993)
153.	Limbach et al., "Summary: the modified nucleosides of RNA," <u>Nucleic Acids Research</u> 22(12):2183-2196 (1994)
154.	Lin and Matteucci, "A Cytosine Analogue Capable of Clamp-Like Binding to a Guanine in Helical Nucleic Acid," <u>J. Am. Chem. Soc.</u> 120:8531-8532 (1998)
156.	Lin et al., "A Novel mRNA-cRNA Interference Phenomenon for Silencing bcl-2 Expression in Human LNCaP Cells," <u>Biochemical and Biophysical Research Communications</u> , 281, 639-644 (2001)
231.	Lin et al., "Policing rogue genes," <u>Nature</u> , 402, 128-129 (1999)
156.	Liszewicz et al., "Inhibition of Human Immunodeficiency Virus Type 1 Replication by Regulated Expression of a Polymeric Tat Activation Response RNA Decoy as a Strategy for Gene Therapy in AIDS," <u>Proc. Natl. Acad. Sci. U.S.A.</u> 90:8000-8004 (1993)
157.	Liu et al., "Cationic Liposome-mediated Intravenous Gene Delivery," <u>J. Biol. Chem.</u> 270(42):24864-24870 (1995)
158.	Loakes, "The Applications of Universal DNA Base Analogues," <u>Nucleic Acids Research</u> 29:2437-2447 (2001)
159.	Ma et al., "Design and Synthesis of RNA Miniduplexes via a Synthetic Linker Approach," <u>Biochemistry</u> 32:1751-1758 (1993)
160.	Ma et al., "Design and Synthesis of RNA Miniduplexes via a Synthetic Linker Approach. 2. Generation of Covalently Closed, Double-Stranded Cyclic HIV-1 TAR RNA Analogs with High Tat-Binding Affinity," <u>Nucleic Acids Research</u> 21:2585-2589 (1993)
161.	Martinez et al., "Single-Stranded Antisense siRNAs Guide Target RNA Cleavage in RNAi," <u>Cell</u> 110:563-574 (2002)

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

04-372
(400/137)

Serial No.

10/698,311

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use several sheets if necessary)

Applicant:

McSwiggen et al.

Filing Date:

October 31, 2003

Group:

1632

162.	Masliah et al., "Dopaminergic Loss and Inclusion Body Formation in α -synuclein Mice: Implications for Neurodegenerative Disorders," <i>Science</i> , 287, 165-1269 (2000)
163.	Maurer et al., "Lipid-based systems for the intracellular delivery of genetic drugs," <i>Molecular Membrane Biology</i> 16:129-140 (1999)
164.	McCurdy et al., "Deoxyoligonucleotides with Inverted Polarity: Synthesis and Use in Triple-Helix Formation" <i>Nucleosides & Nucleotides</i> 10:287-290 (1991)
165.	McGarry and Lindquist, "Inhibition of heat shock protein synthesis by heat-inducible antisense RNA," <i>Proc. Natl. Acad. Sci. USA</i> 83:399-403 (1986)
166.	McManus et al., "Gene Silencing Using Micro-RNA Designed Hairpins," <i>RNA</i> 8:842-850 (2002)
167.	Mesmaeker et al, "Novel Backbone Replacements for Oligonucleotides," <i>American Chemical Society</i> , pp. 24-39 (1994)
168.	Miyagishi and Taira, "U6 Promoter-driven siRNAs with Four Uridine 3' Overhangs Efficiently Suppress Targeted Gene Expression in Mammalian Cells," <i>Nature Biotechnology</i> 19:497-500 (2002)
169.	Moore and Sharp, "Site-Specific Modification of Pre-mRNA: The 2'-Hydroxyl Groups at the Splice Sites," <i>Science</i> 256:992-996 (1992)
170.	Noonberg et al., <i>In vivo</i> generation of highly abundant sequence-specific oligonucleotides for antisense and triplex gene regulation," <i>Nucleic Acids Research</i> 22(14):2830-2836 (1994)
171.	Novina et al., "siRNA-Directed Inhibition of HIV-1 Infection," <i>Nature Medicine</i> 1-6 (2002)
172.	Nykanen et al., "ATP Requirements and Small Interfering RNA Structure in the RNA Interference Pathway," <i>Cell</i> 107:309-321 (2001)
173.	Ohkawa et al., "Activities of HIV-RNA Targeted Ribozymes Transcribed From a 'Shot-Gun' Type Ribozyme-trimming Plasmid," <i>Nucleic Acids Symp. Ser.</i> 27:15-16 (1992)
174.	Ojwang et al., "Inhibition of Human Immunodeficiency Virus Type 1 Expression by a Hairpin Ribozyme," <i>Proc. Natl. Acad. Sci. USA</i> 89:10802-10806 (1992)

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

04-372
(400/137)

Serial No.

10/698,311

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(Use several sheets if necessary)

Applicant:

McSwiggen et al.

Filing Date:

October 31, 2003

Group:

1632

175.	Oku et al., "Real-time analysis of liposomal trafficking in tumor-bearing mice by use of positron emission tomography," <i>Biochimica et Biophysica Acta</i> 1238:86-90 (1995)
176.	Ono et al., "DNA Triplex Formation of Oligonucleotide Analogues Consisting of Linker Groups and Octamer Segments That Have Opposite Sugar-Phosphate Backbone Polarities," <i>Biochemistry</i> 30:9914-9921 (1991)
177.	Orgis et al., "DNA/polyethylenimine transfection particles: Influence of ligands, polymer size, and PEGylation on internalization and gene expression," <i>AAPS PharmSci.</i> , 3 (3) article 21 (http://www.pharmsci.org) p. 1- 11 (2001)
178.	Pardridge et al., "Vector-mediated delivery of a polyamide ("peptide") nucleic acid analogue through the blood-brain barrier <i>in vivo</i> ," <i>Proc. Natl. Acad. Sci. USA</i> 92:5592-5596 (1995)
179.	Parrish, "Functional Anatomy of a dsRNA Trigger: Differential Requirement for the Two Trigger Strands in RNA Interference," <i>Molecular Cell</i> 6:1077-1087 (2000)
180.	Paul et al., "Effective Expression of Small Interfering RNA in Human Cells," <i>Nature Biotechnology</i> 20:505-508 (2002)
184.	Perreault et al., "Mixed Deoxyribo- and Ribo-Oligonucleotides with Catalytic Activity," <i>Nature</i> 344:565-567 (1990) (often mistakenly listed as Perrault)
182.	Petersen et al., "Polyethylenimine-graft-Poly(ethylene glycol) Copolymers: Influence of Copolymer Block Structure on DNA Complexation and Biological Activities as Gene Delivery System," <i>Bioconjugate Chem.</i> , 13, 845-854 (2002)
183.	Pieken et al., "Kinetic Characterization of Ribonuclease-Resistant 2'-Modified Hammerhead Ribozymes," <i>Science</i> 253:314-317 (1991)
184.	Ponpipom et al., "Cell-Specific Ligands for Selective Drug Delivery to Tissues and Organs," <i>J. Med. Chem.</i> 24:1388-1395 (1981)
185.	Rajakumar et al., "Effects of Intrastriatal Infusion of D ₂ Receptor Antisense Oligonucleotide on Apomorphine-Induced Behaviors in the Rat," <i>Synapse</i> 26:199-208 (1997)

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

04-372
(400/137)

Serial No.

10/698,311

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(Use several sheets if necessary)

Applicant:

McSwiggen et al.

Filing Date:

October 31, 2003

Group:

1632

186.	Reinhart and Bartel, "Small RNAs Correspond to Centromer Heterochromatic Repeats," <u>Science</u> 297:1831 (2002)
187.	Reinhart et al., "MicroRNAs in Plants," <u>Genes & Development</u> 16:1616-1626 (2002)
188.	Richardson and Schepartz, "Tethered Oligonucleotide Probes. A Strategy for the Recognition of Structured RNA," <u>J. Am. Chem. Soc.</u> 113:5109-5111 (1991)
189.	Roses, Allen D., "Apolipoprotein E and Alzheimer's Disease: The Tip of the Susceptibility Iceberg," <u>Annals of the New York Academy of Sciences</u> , 855:738-743 (1998)
190.	Sarver et al., "Ribozymes as Potential Anti-HIV-1 Therapeutic Agents" <u>Science</u> 247:1222-1225 (1990)
191.	Scanlon et al., "Ribozyme-Mediated Cleavage of c-fos mRNA Reduces Gene Expression of DNA Synthesis Enzymes and Metallothionein," <u>Proc. Natl. Acad. Sci. USA</u> 88:10591-10595 (1991)
192.	Scaringe et al., "Chemical synthesis of biologically active oligoribonucleotides using β -cyanoethyl protected ribonucleoside phosphoramidites," <u>Nucl Acids Res.</u> 18:5433-5441 (1990)
193.	Schroeder et al., "Diffusion Enhancement of Drugs by Loaded Nanoparticles in Vitro," <u>Prog. Neuro-Psychopharmacol. & Biol. Psychiat.</u> 23:941-949 (1999) [sometimes cited by RPI as <u>Prog Neuropsychopharmacol Biol Psychiatry</u> 23:941-949, 1999]
194.	Schwarz et al., "Evidence that siRNAs Function as Guides, Not Primers, in the <i>Drosophila</i> and Human RNAi Pathways," <u>Molecular Cell</u> 10:537-548 (2002)
195.	Seela and Kaiser, "Oligodeoxyribonucleotides containing 1,3-propanediol as nucleoside substitute," <u>Nucleic Acids Research</u> 15:3113-3129 (1987)
196.	Senger et al., "Vascular permeability factor (VPF, VEGF) in tumor biology," <u>Cancer and Metastasis Reviews</u> 12:303-324 (1993)
197.	Shabarova et al., "Chemical ligation of DNA: The first non-enzymatic assembly of a biologically active gene," <u>Nucleic Acids Research</u> 19:4247-4251 (1991)
232.	Sharp et al., "RNAi and double-strand RNA," <u>Genes & Development</u> , 13:139-141 (1999)

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

04-372
(400/137)

Serial No.

10/698,311

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use several sheets if necessary)

Applicant:

McSwiggen et al.

Filing Date:

October 31, 2003

Group:

1632

198.	Sheehan et al., "Biochemical properties of phosphonoacetate and thiophosphonoacetate oligodeoxyribonucleotides," <i>Nucleic Acids Research</i> , 31 (14), 4109-4118 (2003)
199.	Sommer et al., "The Spread and Uptake Pattern of Intracerebrally Administered Oligonucleotides in Nerve and Glial Cell Populations of the Rat Brain," <i>Antisense & Nucleic Acid Drug Development</i> 8:75-85 (1998)
233.	Strauss, Evelyn, "Molecular Biology: Candidate 'Gene Silencers' Found," <i>Molecular Biology</i> , Vol. 286, No. 5441, p. 886 (1999) [sometimes mistakenly referred to as being published in <i>Science</i>]
200.	Sullenger and Cech, "Tethering Ribozymes to a Retroviral Packaging Signal for Destruction of Viral RNA," <i>Science</i> 262:1566-1569 (1993)
201.	Sun, "Technology evaluation: SELEX, Giliad Sciences Inc," <i>Current Opinion in Molecular Therapeutics</i> 2:100-105 (2000)
202.	Taira et al., "Construction of a novel RNA-transcript-trimming plasmid which can be used both <i>in vitro</i> in place of run-off and (G)-free transcriptions and <i>in vivo</i> as multi-sequences transcription vectors," <i>Nucleic Acids Research</i> 19:5125-5130 (1991)
203.	Thomas et al., "Enhancing polyethylenimine's delivery of plasmid DNA into mammalian cells," <i>PNAS</i> , 99, 14640-14645 (2002)
204.	Thompson et al., "Improved accumulation and activity of ribozymes expressed from a tRNA-based RNA polymerase III promoter," <i>Nucleic Acids Research</i> 23:2259-2268 (1995)
205.	Turner et al., "Improved Parameters for Prediction of RNA Structure," <i>Cold Spring Harbor Symposia on Quantitative Biology Volume LII</i> , pp. 123-133 (1987)
206.	Turner et al., "Free Energy Increments for Hydrogen Bonds in Nucleic Acid Base Pairs," <i>J. Am. Chem. Soc.</i> 109:3783-3785 (1987)
207.	Tuschl et al., "Small Interfering RNAs: A Revolutionary Tool for Analysis of Gene Function and Gene Therapy," <i>Molecular Interventions</i> , 295, 3, 158-167 (2002)
208.	Tuschl et al., "Targeted mRNA Degradation by Double-Stranded RNA In Vitro," <i>Genes & Development</i> 13:3191-3197 (1999)

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

04-372
(400/137)

Serial No.

10/698,311

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use several sheets if necessary)

Applicant:

McSwiggen et al.

Filing Date:

October 31, 2003

Group:

1632

209.	Tuschl, "RNA Interference and Small Interfering RNAs," <i>Chembiochem</i> 2:239-245 (2001)
210.	Tyler et al., "Peptide nucleic acids targeted to the neurotensin receptor and administered i.p. cross the blood-brain barrier and specifically reduce gene expression," <i>Proc. Natl. Acad. Sci. USA</i> 96:7053-7058 (1999)
211.	Tyler et al., "Specific gene blockade shows that peptide nucleic acids readily enter neuronal cells in vivo," <i>FEBS Letters</i> 421:280-284 (1998)
212.	Uhlmann and Peyman, "Antisense Oligonucleotides: A New Therapeutic Principle," <i>Chemical Reviews</i> 90:544-584 (1990)
213.	Usman and Cedergren, "Exploiting the chemical synthesis of RNA," <i>TIBS</i> 17:334-339 (1992)
214.	Usman et al., "Automated Chemical Synthesis of Long Oligoribonucleotides Using 2'-O-Silylated Ribonucleoside 3'-O-Phosphoramidites on a Controlled-Pore Glass Support: Synthesis of a 43-Nucleotide Sequence Similar to the 3'-Half Molecule of an <i>Escherichia coli</i> Formylmethionine tRNA," <i>J. Am. Chem. Soc.</i> 109:7845-7854 (1987)
215.	Usman et al., "Chemical modification of hammerhead ribozymes: activity and nuclease resistance," <i>Nucleic Acids Symposium Series</i> 31:163-164 (1994)
216.	Ventura et al., "Activation of HIV-Specific Ribozyme Activity by Self-Cleavage," <i>Nucleic Acids Research</i> 21:3249-3255 (1993)
217.	Verma and Eckstein, "Modified Oligonucleotides: Synthesis and Strategy for Users," <i>Annu. Rev. Biochem.</i> 67:99-134 (1998)
218.	Volpe et al., "Regulation of Heterochromatic Silencing and Histone H3 Lysine-9 Methylation by RNAi," <i>Science</i> 297:1833-1837 (2002)
234.	Waterhouse et al., "Virus resistance and gene silencing in plants can be induced by simultaneous expression of sense and antisense RNA," <i>Proc. Natl. Acad. Sci. USA</i> , 95, 13959-13964 (1998)

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

04-372
(400/137)

Serial No.

10/698,311

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(Use several sheets if necessary)

Applicant:

McSwiggen et al.

Filing Date:

October 31, 2003

Group:

1632

219.	Weerasinghe et al., "Resistance to Human Immunodeficiency Virus Type 1 (HIV-1) Infection in Human CD4 ⁺ Lymphocyte-Derived Cell Lines Conferred by Using Retroviral Vectors Expressing an HIV-1 RNA-Specific Ribozyme," <u>Journal of Virology</u> 65:5531-5534 (1994)
220.	Wianny and Zernicka-Goetz et al., "Specific Interference with Gene Function by Double-Stranded RNA in Early Mouse Development," <u>Nature Cell Biology</u> 2:70-75 (2000)
221.	Wincott et al., "Synthesis, deprotection, analysis and purification of RNA and ribozymes," <u>Nucleic Acids Research</u> 23(14):2677-2684 (1995)
222.	Wincott et al., "A Practical Method for the Production of RNA and Ribozymes," <u>Methods in Molecular Biology</u> 74:59-69 (1997)
223.	Wu and Wu, "Receptor-mediated <i>in Vitro</i> Gene Transformation by a Soluble DNA Carrier System," <u>The Journ. of Biol. Chem.</u> 262:4429-4432 (1987)
224.	Wu-Pong et al., "Nucleic Acid Drug Delivery, Part 2; Delivery to the Brain," <u>BioPharm</u> 32-38 (1999)
225.	Yamada et al., "Nanoparticles for the delivery of genes and drugs to human hepatocytes," <u>Nature Biology</u> , Published online: 29 June 2003, doi:10.1038/nbt843 (August 2003 Volume 21 Number 8 pp 885-890) (2003)
226.	Yu et al., "A Hairpin Ribozyme Inhibits Expression of Diverse Strains of Human Immunodeficiency Virus Type 1," <u>Proc. Natl. Acad. Sci. USA</u> 90:6340-6344 (1993)
227.	Zamore et al., "RNAi: Double-Stranded RNA Directs the ATP-Dependent Cleavage of mRNA at 21 to 23 Nucleotide Intervals," <u>Cell</u> 101:25-33 (2000)
228.	Zhou et al., "Synthesis of Functional mRNA in Mammalian Cells by Bacteriophage T3 RNA Polymerase," <u>Mol. Cell. Biol.</u> 10:4529-4537 (1990)
229.	Dawson et al., "Molecular Pathways of Nuerodegeneration in Parkinson's Disease," <u>Science</u> , Vol. 302, October 31, 2003

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.